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STALLMAN & POLLOCK LLP 415 512 1362 → 170374 40

NO. 546 0004

PATENT

-1-

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

James Peterson et al.

Application No.: 09/654,627

Filed: September 5, 2000

For: SYSTEM AND METHOD FOR
TAX SENSITIVE PORTFOLIO
OPTIMIZATION

Group No.: 2161

Examiner: Unknown

SUBMISSION OF REVOCATION OF
PRIOR POWERS AND APPOINTMENT
OF NEW COUNSEL BY ASSIGNEE121 Spear Street, Suite 290
San Francisco, CA 94105Commissioner for Patents
Washington, DC 20231

Sir:

Enclosed for filing please find a duly executed Revocation of Prior Powers and Appointment of New Counsel by Assignee for the above-identified application which specifies an Assignment recordal date of September 5, 2000, at Reel 11066, Frame 875, and shows Assignee's entire right, title and interest to establish ownership.

Respectfully submitted,

STALLMAN & POLLOCK LLP

Date: October 31, 2002By: Brian J. Keating
Brian J. Keating (Reg. No. 39,520)

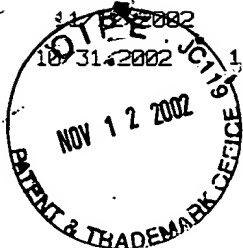
Attorneys for Applicant(s)

121 Spear Street, Suite 290
San Francisco, CA 94105
Tel.: (415) 512-1312
Fax: (415) 512-1362

Atty Docket No.: SCHB-2700

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NO. 546 0005

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NO. 524 0003

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of

James Peterson et al.

Appl. No.: 09/654,627

Filed: September 5, 2000

For: SYSTEM AND METHOD FOR
TAX SENSITIVE PORTFOLIO
OPTIMIZATION

Group Art: 2161

Examiner: Unknown

REVOCATION OF PRIOR POWERS
AND APPOINTMENT OF NEW
COUNSEL BY ASSIGNEECommissioner for Patents
Washington, D.C. 20231

Sir:

CHARLES SCHWAB & CO., assignee of the entire right title and interest in the above-identified application by assignment dated September 5, 2000, which assignment was recorded in the Patent and Trademark Office on September 5, 2000, at Reel 11066, frame 875, hereby revokes all prior powers of attorney and appoints the members of the firm of STALLMAN & POLLOCK LLP, a firm composed of:

Michael A. Stallman	29,444	Kathleen A. Frost	37,326
Michael J. Pollock	29,098	Brian J. Keating	39,520

as its attorneys with full power of substitution to prosecute this application and to transact all business in the Patent and Trademark Office in connection therewith.

Please direct all correspondence regarding this application to the following:

STALLMAN & POLLOCK LLP
Attn: Brian J. Keating
121 Spear Street, Suite 290
San Francisco, CA 94105

Telephone: (415) 512-1312
Facsimile: (415) 512-1362

CHARLES SCHWAB & CO.

Dated: 10/31/02By: Name: Yusuf CassimTitle: Vice President & Associate General Counsel

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STALLMAN POLLOCK LLP 415 512 1362 → 1703746-240

NO. 546 0001

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STALLMAN & POLLOCK LLP

Intellectual Property Attorneys

121 Spear Street, Suite 290
San Francisco, CA 94105Telephone: (415) 512-1312
Facsimile: (415) 512-1362**RECEIVED****GROUP 3600****TO:** Attn: Ella Washington
Commissioner for Patents
Washington, D.C. 20231**FAX:** 703-746-7240**PHONE:** 703-306-5631**FROM:** BRIAN J. KEATINGTelephone: (415) 512-1312 Ext. 104
Facsimile: (415) 512-1362

Email: bkeating@stallmanpollock.com

DATE: November 12, 2002**TIME:****PAGES:** 5 (including cover)If you did not receive all of the pages in this fax, please
contact Georgia K. Stith at (415) 512-1312 Ext. 106.**OUR FILE NUMBER:** SCHB-2700**RETURN TO:** G. Stith**RECEIVED**
FEB 07 2003
GROUP 3600**MESSAGE: U.S. Patent Appln. No. 09/654,627, filed 09/05/2000**

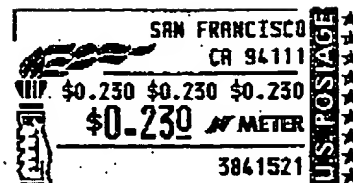
Ella, pursuant to our telephone conversation this A.M., I am attaching copies of the papers we mailed to the Patent Office on October 31, 2002, regarding the submission of the Revocation of Prior Powers. Please enter into the PTO's database Applicants' "new counsel" contact information and address. Please note, pursuant to your request, we are NOT including a copy of the Status Request which was answered today by Ms. Wong. If you have any questions, please call me at (415) 512-1312, Ext. 106. Thank you for your assistance in this matter.

Georgia K. Stith

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U.S. DEPARTMENT OF COMMERCE
PATENT OFFICE
WASHINGTON, D.C. 20231



Stallman & Pollock LLP

Intellectual Property Attorneys
121 Spear Street, Suite 290
San Francisco, California 94105

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Serial/Patent/Reg. No. **09/654,627** S&P File No. **SCHB-2700** By: **BJK:gks**
In the Matter of the Application of: **James Peterson et al.**
Title/Mark: **SYSTEM AND METHOD FOR TAX SENSITIVE PORTFOLIO OPTIMIZATION**
Date Mailed: **10/31/2002** Due Date:

The following has been received in the U.S. Patent and Trademark Office on the date stamped hereon:

☒ **Sub. of Revo. of Prior Pwrs & Appt. of New Counsel by Assignee**
☐ Transmittal Letter
☐ Patent Application
☐ pgs. specification including _____ pgs. claims
☐ Drawings _____ sheets _____ formal _____ informal
☐ Oath/Declaration
☐ Assignment w/ Form PTO-1595
☒ **Power of Attorney - Revo (signed)**
☐ Small Entity Declaration
☐ Deposit Account Authorization (in duplicate)
☐ Information Disclosure Statement, PTO-1449 w/ _____ references
☐ Check \$ _____
☐ Amendment/Response
☐ Request for Extension of Time (____ months)(patent)
☐ Terminal Disclaimer
☐ Notice of Appeal
☐ Appeal Brief (in triplicate)
☐ Letter to Official Draftsman
☐ Issue Fee Transmittal
☐ Maintenance Fee Transmittal
☒ Request for **Status**
☐ Trademark (Use) Appln. Drawing and _____ Specimens
☐ ITU Trademark Application and Drawing
☐ Request for Extension to Time (trademark)
☐ (Notice of Allowance: _____)
☐ Statement of Use/Amendment to Allege Use
☐ Section 8 & 15 Declaration
☐ Trademark Renewal Application and _____ Specimen
☐ Opposition to _____
☐ Petition for Cancellation
☒ Certificate of Mailing
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☐ Certificate of Correction (PTO Form 1050) _____
☒ **Letter to the Commis-**
☒ **sion for Patents**
☒ Other: **postcard**



11/12/2002

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NO. 546 0003

PATENT

-1-

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of

Inventor(s): James Peterson et al.

Application No.: 09/654,627

Filed: September 5, 2000

For: SYSTEM AND METHOD FOR
TAX SENSITIVE PORTFOLIO
OPTIMIZATION

Group Art Unit: 2161

Examiner: Unknown

**LETTER TO THE COMMISSIONER
FOR PATENTS**121 Spear Street, Suite 290
San Francisco, CA 94105
(415) 512-1312Commissioner for Patents
Washington, D.C. 20231**CERTIFICATE OF MAILING**I hereby certify that this correspondence is being deposited
with the United States Postal Service as First Class Mail in an
envelope, addressed to: Commissioner for Patents,
Washington, DC 20231 on October 31, 2002.

- STALLMAN & POLLOCK LLP

Dated: 10/31/2002 By: Georgia E. Stith

Georgia E. Stith

Sir:

Enclosed for filing in the above-identified application are:

1. Submission of Revocation of Prior Powers and Appointment of New Counsel by Assignee (including executed Revocation); and
2. Status Request.

Respectfully submitted,

STALLMAN & POLLOCK LLP

Dated: October 31, 2002By: Brian J. KeatingBrian J. Keating
Reg. No. 39,520

Attorneys for Applicant(s)

Any Docket No. SCHB-2700

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